

IAP15 Rec'd PCT/PTO 12 JAN 2006

**INFORMATION DISCLOSURE  
STATEMENT TRANSMITTAL****To Commissioner For Patents:**

Enclosed herewith is a Form PTO-1449, any required copies of documents listed thereon, and any concise explanation of their relevance is indicated below per 37 CFR 1.97.

|                        |               |
|------------------------|---------------|
| Application Number     | 10/564535     |
| Filing Date            |               |
| First Named Inventor   | TUKKER et al. |
| Group Art Unit         |               |
| Examiner Name          |               |
| Attorney Docket Number | NL 030837     |

☒ Please charge any required fee under §1.17(i) or §1.17(p) or any other required fee (except the issue fee) to Account No. 14-1270.

1. ☐ I certify that these documents were first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three (3) months ago.

2. ☐ I certify that none of these documents were cited in any communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, none of these documents was known to any individual designated in §1.56(c) more than three (3) months ago.

☐ Applicant hereby petitions under §1.97(d) that this IDS be considered after final Action or Notice of Allowance, pays the fee under §1.17(p) as indicated below, and I certify 1. or 2. as indicated above.

☐ A fee under §1.17(p) is not required under §1.97(c), after the first Action on the merits and more than (3) months after the date of application or RCE, because I certify 1. or 2. as indicated above.

☐ A copy of the citations is not required because they were previously submitted or cited in the parent application (or in U.S. patent application Ser. No. \_\_\_\_\_, Filing Date \_\_\_\_\_, relied on for an earlier effective filing date under 35 U.S.C. 120).

☒ A copy of the U.S. patent(s) and patent application publication(s) in all U.S. national patent applications filed after June 30, 2003, and in all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003 under 37 CFR 1.491(b), are not required.

☐ A concise explanation of the relevance of each non-English document, as understood by the individual designated in §1.56(c) most knowledgeable about the contents, is enclosed per §1.98(a)(3).

The concise explanation of the relevance of any document, as understood by the individual designated in §1.56(c) most knowledgeable about the contents, is that the document is/was:

☒ cited in the specification or considered in drafting the specification of this application;

☐ previously submitted or cited in the parent application (or in a related patent application Ser. No. \_\_\_\_\_, Filing Date: \_\_\_\_\_);

☐ cited as an "X", "Y", or "A" document in a foreign Patent Office search report in a foreign counterpart application.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

|                   |                               |                                   |        |
|-------------------|-------------------------------|-----------------------------------|--------|
| Name (Print Type) | Michael E. Belk               | Registration No. (Attorney/Agent) | 33,357 |
| Signature         | Frank J. Keegan (reg. 50,145) | Date                              | 1/1/06 |

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I hereby certify that this is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, P.O. BOX 1450 Alexandria, VA 22313-1450, or facsimile transmitted to the U.S. Patent and Trademark Office tel. # 703-872-9306 on the date below:

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PTO/SB/08A (08-03)

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Substitute for form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

**Complete if Known**

Application Number

Filing Date

First Named Inventor

### Art Unit

Examiner Name \_\_\_\_\_

Attorney Docket Number

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TUKKER et al

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NL 030837

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|-------|---|----|---|
| Sheet | 1 | of | 1 |
|-------|---|----|---|

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |      | <b>Complete if Known</b> |               |
|  |      | Application Number       | 10/564535     |
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|  |      | First Named Inventor     | TUKKER et al. |
|  |      | Art Unit                 |               |
|  |      | Examiner Name            |               |
| Sheet 1  | of 1 | Attorney Docket Number   | NL 030837     |

| NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                 |                       | JP 20011553 74 "Record/Reproducing Optical System, and Optical Head Device"   |                |
|                                 |                       | JP 2002074733 "Optical Pickup Device"   |                |
|                                 |                       | 5-54413 (A); 3/5/1993 "Objective Lens Holding Structure For Optical Disk Device"  |                |
|                                 |                       | 5-54414 (A); 3/5/1993 "Optical Pickup Device"   |                |
|                                 |                       | 5-54415 (A); 3/5/1993 "Optical Recording/Reproducing Device"  |                |
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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